

## MEMORANDUM

**TO:** Proposed Rule: Private Fund Advisers; Documentation of Registered Investment Adviser Compliance Reviews (IA-5955; File No. S7-03-22)

**FROM:** Robert McDavid Holowka  
Attorney-Adviser, Division of Investment Management (“IM”)

**RE:** Videoconference with Representatives of the Securities Industry and Financial Markets Association Asset Management Group (“SIFMA-AMG”)

**DATE:** March 18, 2022

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On March 17, 2022, staff from the U.S. Securities and Exchange Commission (the “SEC”) held a videoconference with representatives of SIFMA-AMG.

Participants included: William Birdthistle (Director, IM), Sarah ten Siethoff (Deputy Director, IM), Melissa Gainor (Assistant Director, IM), Jennifer Porter (Senior Policy Adviser, IM), Melissa Harke (Senior Special Counsel, IM), Michael Neus (Private Funds Attorney Fellow, IM), Christine Schleppegrell (Acting Branch Chief, IM), Thomas Strumpf (Senior Counsel, IM), and Robert McDavid Holowka (Attorney-Adviser, IM) from the SEC and representatives from SIFMA-AMG:

- Minh Ta - The Carlyle Group, Vice President, Global Government Affairs
- David Plutzer - Goldman Sachs, General Counsel, Asset Management
- David Thomas - Goldman Sachs, Managing Director
- Kyle Russ - Goldman Sachs, Managing Director
- Christopher Cafiero - JPMorgan Chase, Executive Director
- Natan Hecht - JPMorgan Chase, Managing Director
- Arlene Morris - Morgan Stanley, Executive Director
- Mark Egnal - Morgan Stanley, Executive Director
- Mustufa Salehbhai - Morgan Stanley, Managing Director
- Teale Long - Neuberger Berman Group, Senior Vice President
- William Braverman - Neuberger Berman Group, Managing Director, General Counsel
- Joe Seidel – SIFMA, Chief Operating Officer
- Lindsey Keljo – SIFMA, Head of Asset Management Group and Associate General Counsel
- Adam Kanter - Mayer Brown, Partner
- Tram Nguyen - Mayer Brown, Partner

Among other things, the participants discussed the SEC’s proposal titled “Private Fund Advisers; Documentation of Registered Investment Adviser Compliance Reviews,” set forth in Release No. IA-5955 (Feb. 9, 2022).